



PATENT
DT03 Rec'd PCT/PTO 19 FEB 2003
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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APR 14 2003

TECH CENTER 1600/2300

Applicants:

HERSCOVICI ET AL.

Examiner:

Not Known

Serial No.: **09/857,008**

Group Art Unit:

Not Known

Filed: **MAY 30, 2001**

Title:

**NOVEL NUCLEIC ACID TRANSFERRING
AGENTS, COMPOSITIONS CONTAINING
THEM AND USES**

I hereby certify that this correspondence is being
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INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. 1.56, 1.97 AND 1.98

Commissioner for Patents
Washington, D.C. 20231

Sir:

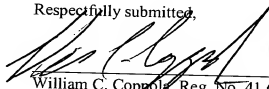
Applicants submit herewith patents, publications, and other information of which they are aware, which they believe may be material, as defined in 37 C.F.R. 1.56(b), to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. 1.56(a). While the information referred to in this Information Disclosure Statement may be material pursuant to 37 C.F.R. 1.56(b), the filing of this Information Disclosure Statement is not intended to, pursuant to 37 C.F.R. 1.97(h), constitute an admission that any patent, publication or other information referred to is, or is considered to be, material to the patentability of this invention. Pursuant to 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information exists.

- ☒ (a) This Information Disclosure Statement is filed within the period set forth in §1.97(b) because it accompanies the new patent application submitted herewith, is filed within three months of the filing date of a national application or within three months of the date of entry of the national stage as set forth in §1.491 in an international application, or is believed to be filed before the mailing date of a first Office Action on the merits, whichever event occurs last. However, in the event that the first office action has been mailed, the Commissioner is authorized to charge any fees under 37 C.F.R. 1.17(p) or credit any overpayment to Account No. 18-1982.

- ☐ 4b) This Information Disclosure Statement is filed after the period set forth in 37 C.F.R. 1.97(b), but is believed to be filed before the mailing date of a final action under §1.113 or a notice of allowance under §1.311, whichever occurs first.
- ☐ (1) The undersigned attorney certifies that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement;
- ☐ (2) The undersigned attorney certifies that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned attorney after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this statement; or
- ☐ (3) This Information Disclosure Statement is accompanied by a transmittal letter in which payment of the fee set forth in §1.17(p) and required by 37 C.F.R. 1.97(c) is authorized.

The items listed with an asterisk on the attached PTO-1449 (modified) have been not been submitted because the corresponding U.S. equivalent is submitted in their place.

Respectfully submitted,



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FORM PTO-1449 (Modified)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. ST98046 US PCT	SERIAL NO. 09/857,008
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		<div style="border: 1px solid black; padding: 5px; display: inline-block;"> RECEIVED APR 14 2003 </div>	
<div style="border: 1px solid black; border-radius: 50%; padding: 10px; display: inline-block; text-align: center;"> OIPE JC FEB 19 2003 PATENT & TRADEMARK OFFICE </div>		APPLICANT Herscovi et al.	FILING DATE May 30, 2001
		GROUP Unknown	
TECH CENTER 1600/2500			

U.S. PATENT DOCUMENTS

EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLAS S	FILING DATE IF APPROPRIATE
	AA	5 9 4 5 4 0 0	08-08-1999	Scherman et al			
	AB	5 9 4 8 6 8 1	09-07-1999	Scanlin et al.			
	AC	6 1 0 7 2 8 6	08-22-2000	Byk et al.			
	AD	6 1 7 1 6 1 2	01-09-2001	Byk et al.			
	AE	6 1 4 3 7 2 9	11-07-2000	Lehn et al.			
	AF	6 3 0 0 3 2 1	10-09-2001	Scherman et al.			

FOREIGN PATENT DOCUMENTS

EXAMINER INITIALS		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLAS S	TRANSLATION YES NO
	AG	9 6 1 7 8 2 3	06-13-1996	WO*			
	AH	9 6 2 1 0 3 6	07-11-1996	WO			
	AI	9 7 1 8 1 8 5	03-22-1997	WO**			
	AJ	9 7 3 1 9 3 5	09-04-1997	WO***			
	AK	9 8 5 4 1 3 0	12-03-1998	WO****			
	AL	9 9 5 1 5 8 1	10-14-1999	WO			

*corresponds to AC
 **corresponds to AD
 ***corresponds to AE
 ****corresponds to AF

OTHER DOCUMENTS

EXAMINER INITIALS		AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.
	AM	Erbacher et al., The reduction of the positive charges of polylysine by partial gluconoylation increases the transfection efficiency of polylysine/DNA complexes, <i>Biochimica et Biophysica Acta</i> 1324, 1997, pp. 27-36
	AN	Goula et al., Polyethylenimine-based intravenous delivery of transgenes to mouse lung, <i>Gene Therapy</i> , 1998, Vol. 5, pp. 1291-1295
	AO	Oku et al., Effect of serum protein binding on real-time trafficking of liposomes with different charges analyzed by positron emission tomography, <i>Biochimica et Biophysica Acta</i> , Vol. 1280, 1996, pp. 149-154
	AP	Fuhrop et al., Bolaamphiphiles with mannose - and tetraalkylammonium head groups ascoating nucleic acids and possible reagents for transfections, Vol. 43, April 1997, pp. 193-213
	AQ	Pitard et al., Virus-sized self-assembling lamellar complexes between plasmid DNA and cationic micelles promote gene transfer, <i>Proc. Natl., Acad. Sci.</i> , Vol. 94, Dec. 1997, pp. 14412-14417

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Note: Asterisk (*) item(s) have been previously cited in a related application(s) either by the applicant or by the USPTO and therefore copies of the reference(s) are not being submitted.	